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# National Institute of Justice

S o l i c i t a t i o n

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## **Solicitation for Technology Research and Development Partnership Projects for Community Policing**

# Solicitation for Technology Research and Development Partnership Projects for Community Policing

## Solicitation Purpose

The purpose of this solicitation is to seek proposals for support of research, development, and application of new and innovative technologies in support of the implementation and enhancement of community-oriented policing on a national level. Proposals are expected to describe research and development efforts to move technologies in support of community-oriented policing beyond the current state of the art. Such technological innovations will enable localities to increase police presence, address crime and disorder, and enhance public safety. This solicitation is not intended to fund the purchase of currently available commercial off-the-shelf technologies, systems, or products.

This solicitation seeks proposals representing partnerships between the public and private sectors; e.g., between a police department and a company with technological expertise, or a consortium that includes as members a police department and one or more private companies or academic institutions. The solicitation is not intended to fund the purchase of existing systems; rather, it is intended to support the research and development of new technologies or the innovative adaptation of existing technologies to effectively deal with community law enforcement problems. Proposals therefore should promote the research and development of new technologies or the modification of existing technologies beyond the current state of the art to creatively address problems associated with community policing, with an eye toward successfully developing new commercial products for near term use by the law enforcement community.

Grantees are encouraged to use the NIJ National Law Enforcement and Corrections Technology Center (NLECTC) located in Rockville, Maryland, and the regional NLECTCs—in Rome, New York; Charleston, South Carolina; Denver, Colorado; and El Segundo, California—to the maximum extent possible for assistance, field testing, evaluation, and demonstration.

## Background

The United States Department of Justice has the responsibility of implementing the Public Safety Partnership and Community Policing Act of 1994 [Violent Crime Control and Law Enforcement Act of 1994, tit. I, Pub. L. No. 103–322, 108 Stat. 1796, 1807 (1994), codified at 42 U.S.C. §§ 3796dd *et seq.* (1994)]. Under this law the Office of Community Oriented Policing Services (COPS) is responsible for providing funding to increase the number of police officers across the Nation engaged in community policing; for funding redeployment of sworn officers to community policing through hiring of civilians, overtime, and procurement of equipment and technology; and for demonstrating and evaluating innovative approaches to the development of community policing.

The purchase and evaluation of technologies in support of community policing was a major component of the COPS Making Officer Redeployment Effective (MORE) program. Forthcoming COPS programs in problem solving and other innovative approaches will further emphasize technological solutions to many crime and disorder conditions.

The 1994 Crime Act further authorizes “the development of new technologies to assist State, Indian tribal government, and local law enforcement agencies in reorienting the emphasis of their activities from reacting to crime to prevention of crime” [42 U.S.C. §§ 3796dd(b)(2)]. The COPS Office and the National Institute of Justice, the research agency of the U.S. Department of Justice, have collaborated to produce this solicitation consistent with this component of the Violent Crime Control and Law Enforcement Act to fund technology research and development projects. Grants will be awarded by NIJ, through COPS Office funding support, and managed by NIJ’s Office of Science and Technology.

## Community Policing

Community policing is an integral part of achieving the goals of combating crime and improving the quality of life in the Nation’s cities, towns, and rural areas. Community policing stresses the importance of police-citizen cooperation to control crime, maintain order, and improve the

quality of life in America. The community is an active partner with police in defining the problems that are addressed, the tactics used, and the measurement of success.

Community policing is defined as a policing philosophy that promotes and supports organizational strategies to address the causes, and fear, of crime and social disorder through problem-solving tactics and police-community partnerships.

Community policing brings the police and the community into a closer working relationship. It calls for greater citizen responsibility and is an opportunity for citizens to contribute individually and collectively to public safety and quality of life. At the same time, it enhances police professionalism by giving officers the skills, technology, and motivation to act innovatively to solve community problems. Community policing in many cases also calls for a restructuring of police agencies and refinement of their management techniques to allow the fullest use of department and community resources.

This approach is dependent upon an effective flow of information from the sources inside and outside the law enforcement agency. To be successful at community policing, the law enforcement agency should use this feedback to become more effective and equitable in its service delivery. This informed flexibility should allow law enforcement agencies to become more responsive to members of the community. It also should allow managers of law enforcement agencies to be more responsive to employees and their representatives.

Community policing can change the way crime control is accomplished. The ultimate goal is to maintain public safety in communities through better police work while increasing the public's interaction and satisfaction with police services.

Consistent with the letter and spirit of the Crime Act, research and development supported under this solicitation therefore is intended to (1) improve police-citizen cooperation and communication, (2) increase police and citizen ability to solve community problems innovatively, and (3) facilitate the restructuring of agencies to allow the fullest use of departmental and community resources to promote the effective flow and use of information both within and outside an agency and to improve law enforcement responsiveness to members of the community. This solicitation further seeks to assist chiefs, sheriffs, and other

police officials in the assessments of changes they can make to better serve their communities.

These changes in the approach to crime fighting are occurring at a time when the American public rates crime as the number one issue, and many communities face crime rates that have risen to historically high levels. Although the workload of police officers has increased, the number of officers on the beat has not kept pace due to widespread budgetary constraints.

As a consequence, law enforcement agencies around the Nation are actively engaged in exploring and implementing new techniques and methods to more skillfully manage limited police resources, reduce crime rates, and improve relations with the communities they serve.

Community policing encompasses a variety of philosophical and practical approaches and is still evolving rapidly. The community policing philosophy consists of three complementary core components:

- (1) Partnerships between the police and the community.
- (2) Problem-solving approaches to crime and fear.
- (3) Organizational change and development.

The foundations of a successful community policing strategy encompass several levels of close, mutually beneficial ties between police and community members.

To develop community partnerships, police need to foster positive relationships with the community, and they need to involve the community in the quest for better crime control and prevention. In order to address their unique needs, police must pool their resources with those of the community to address the most urgent concerns of community members. The community is seen as an active partner with police in defining which problems to address and which tactics to use and in reaching agreement on how to measure success.

Problem solving, in the community policing situation, is the process through which the specific concerns of the community and the police are identified and through which the most appropriate remedies to abate these problems are found. The specific conditions that create a crime problem are believed to be more easily and effectively addressed by those intimately familiar with the geographic area and its characteristics.

Community policing requires the adoption of organizational change and restructuring initiatives that are enhanced by technology that directly supports community policing.

Technology has already been identified as a work force multiplier for police operations. Technology also can serve as a bridge between the police and the community and can support innovative management approaches to the police function. The key is to identify and bring to the police appropriate technologies that enhance community-oriented policing. Such technologies must be affordable, purchasable, reliable, and, moreover, effective for use by the law enforcement community.

To improve the productivity and effectiveness of community policing, law enforcement clearly needs to apply technology.

### General Guidelines

It should be noted that this solicitation is designed to support innovative technology research and development efforts that can increase information flow, redeployment, and changes (noted in the preceding section) that enhance community policing. Results of the project should be applicable for use by the police community.

Grantees are encouraged to use the NIJ National Law Enforcement and Corrections Technology Center (NLECTC) located in Rockville, Maryland, and the regional NLECTCs—in Rome, New York; Charleston, South Carolina; Denver, Colorado; and El Segundo, California—to the maximum extent possible for assistance, field testing, evaluation, and demonstration.

Proposal writers should keep in mind that cost considerations are a major concern for technology procurement in law enforcement. Most police departments around the Nation are quite small and underfunded. Most departments have a very limited portion of their budgets available for equipment, technology, ammunition, or computer procurement. Personnel and related overtime costs, vehicle fuel and maintenance costs, and communications costs take up the vast majority of the typical law enforcement agency's budget. These and related factors all influence the timeliness and the degree to which new technologies are accepted by police administrators. Thus, a number of considerations should be taken into account

when determining the usefulness of a proposed new community policing technology research and development effort:

- How important is the new technology to the overall operation of the police department? How important is it to compare it to other technologies or organizational change and personnel options?
- How much will it cost to purchase, customize to fit local needs (if necessary), and maintain?
- How many units will be needed?
- What are the hidden costs? For example, new computers may require additional data input personnel.
- Does the technology save real money or officer hours?
- Will the technology help street officers to better serve the community?
- What is the value-added service to the community?
- How much training is required to use and maintain the technology?
- How will the courts view the technology—in terms of liability and interference with personal freedom? What constitutional or other legal issues may arise from utilization of the technology?

### R&D Project Categories

There are five major research and development project categories for which grants will be awarded. For each proposal, the applicant (National Law Enforcement and Corrections Technology Center, educational institutions, nonprofit organizations, public agencies, individuals, industry and other profitmaking organizations, or the law enforcement community) must demonstrate that the project will be an active public/private partnership.

The five major research and development categories are:

- 1) Partnerships Between the Police and the Community.
- 2) Problem-Solving Technology Approaches to Crime and Fear.
- 3) Technologies to Support Beat Officers.
- 4) Crime Analysis and Response Technologies.
- 5) Organizational Change and Creative Solutions to Community Policing Problems.

## Proposal Request Categories

### ***1) Partnerships Between the Police and the Community***

Proposals in this category should focus on the research, development, and application of technologies to improve interaction and partnerships between law enforcement agencies, the criminal justice system, and other government agencies that on the surface may appear not to be related to law enforcement. Research, development, and application of such technologies should contribute to a community's overall well-being by improving communications not only between law enforcement agencies and other public agencies but also between law enforcement and the community. The goal is to provide a means for government and all other parties to share information essential to addressing community crime problems. Such research, development, and application projects might address innovative uses of electronic mail, creative means of communication and information sharing using the Internet or other information networks, technologies to stimulate interactive problem solving with citizens, community information kiosks, improved citizen access to crime trends and statistics, and integrated public access emergency communications.

### ***2) Problem-Solving Technology Approaches to Crime and Fear***

Proposals in this category should focus on innovative approaches to crime and fear reduction by applying technological solutions to the problem. This area is oriented toward research, development, and application of technologies that address those specific repetitive crime problems, which consume a large amount of an officer's time. Problems to be addressed include, but are not limited to, concealed weapons, fleeing vehicles, drug dealing, domestic violence, school violence, and home, business, or public housing security. Such research and development projects might address concealed weapons detection, fleeing vehicle interdiction, computer crime technology, imagery enhancement, face recognition technology, crime mapping technology, language translation systems, interoperability of communications technology, integrated global positioning and cellular telephone systems, quality of forensic data collection and analysis, and ballistics identification programs.

### ***3) Technologies to Support Beat Officers***

Proposals in this category should focus on the research, development, and application of technologies that are work force multipliers that can enhance beat officers' productivity, communications, and problem-solving capabilities. Research and development of such technologies might address projects like information systems (data processing hardware and software), improved electronic communications, computer-aided dispatch and incident reporting systems, computerized collection of criminal records, computerized beat books, automated booking or report-writing systems, portable automated fingerprint identification systems (AFIS), cellular telephones, local area networks, geographic information systems, global positioning systems, portable computer technologies (laptop or palmtop computers), or innovative training techniques.

### ***4) Crime Analysis and Response Technologies***

Proposals in this category should focus on the research, development, and application of technologies that will improve the ability of law enforcement agencies to conduct analysis and improve departmental responses to developing crime patterns. Research and development of technologies to enhance executive support systems and/or management information systems can be pursued to improve the ability of law enforcement management to employ more proactive and innovative crime-fighting strategies. For example, computerized mapping systems have been developed to determine how departmental resources can best be leveraged to respond to increases in specific crimes in specific geographic locations.

### ***5) Organizational Change and Creative Solutions to Community Policing Problems***

The intent of this category is to serve as an "open window" to encourage the submission of research, development, and application proposals that will result in creative, innovative technologies to benefit community-oriented policing. The burden of proof in demonstrating the relationship and benefit to community policing rests with the applicant. As with other category areas, proposal writers are reminded that technological solutions must serve as work force multipliers that relieve patrol officers of excess burdens in order to increase the time they spend on the street and that substantially enhance their ability to serve the community. Such research and development projects

should address real and significant community policing problem areas, such as organizational change management techniques, development of new and innovative community-oriented policing organizational management tools or technology, and advanced applications of technology. The resulting technological solutions should be affordable to acquire as well as to maintain.

### Abstract

The abstract of the full proposal should highlight the research and development project's purpose (need or application addressed), technical approach, value added with technical approach, cost (both proposed effort and end-product cost), and proposed partnership. The abstract should not exceed one page.

### Project Narrative

Included among the components of the proposal's project narrative should be sections addressing the following areas.

**Description of the research and development technology project.** Applicants should give a detailed description of the proposed research and development technology project. A description of the law enforcement problem or challenge to be addressed by the proposal should be included, as well an explanation of how the proposed technology could be utilized as a work force multiplier in the realm of community-oriented policing. Applicants should include an explanation of the attributes of the technology which make it sufficiently different from any other currently available or in-development technology. They also should offer a per unit cost forecast that would make any product resulting from the research and development realistically affordable given the severe budgetary limitations of the vast majority of law enforcement agencies throughout the United States.

**Description of the partnership.** Applicants should provide a description of the active partnership between a law enforcement agency and a private company or academic institution to implement the research and development project. Applicants are reminded that assurance of *active* input and participation from a recognized law enforcement agency throughout the term of the project is a central factor in determining whether a proposal will receive a grant award.

### Technology project coordination and duplication.

A detailed coordination plan is required for those COPS projects supporting the use of technology that are already funded or anticipated from the Office of Community Oriented Policing Services. If this proposed effort is a duplication of existing work, it would not be considered for grant funding. Proposals submitted under this solicitation are focused on developing new partnerships to provide research, development, and application of new technology for the enhancement of community policing efforts across the country.

**Management plan/project implementation plan.** Applicants should provide a sufficiently detailed plan that outlines the major activities (tasks) involved in implementing the project, describes how resources will be allocated to implement the project, describes how the project will be managed, and includes a schedule (timeline) for completing major aspects of the project.

### Qualifications of Applicant

The proposal should include resumes. Applicants should demonstrate education, current knowledge, and recent experience in field(s) relevant to the technology to be developed.

### Budget and Budget Narrative

Applicants should provide an appropriate budget along with a detailed budget narrative that justifies all costs and provides a basis for computation of these costs.

### Selection Criteria

All applications will be reviewed by an NIJ peer review panel selected for their operational expertise as well as their knowledge in the substantive areas covered by this solicitation. Four criteria are applied in the evaluation process: technical merit of the proposal, law enforcement application relevance, management plan, and cost realism. The panel's consensus reviews will be given to the Director of the National Institute of Justice, who will make the final award decision, in consultation with the Director of COPS.

## Monitoring

Each grant awarded under this solicitation will be monitored according to the Office of Justice Programs (OJP) Handbook 4500.2C (revised Chapter 7 Monitoring).

## Products

In addition to the research and development technology developed through the grant award, at a minimum the final products of the project should include a summary of activities and accomplishments.

## Application Requirements

**Application components.** All applicants must submit a completed Standard Form (SF) 424 (Application for Federal Assistance) and include an abstract, project narrative, a detailed budget (SF 424A) and a budget narrative, and signed certifications regarding (1) lobbying; (2) debarment, suspension, and other responsibility matters; and (3) drug-free workplace requirements. The Assurances Form should be signed by the appropriate official and included as an attachment to SF 424. The foregoing forms are included at the end of this document. See item 17 under "Recommendations to Grant Writers" for additional proposal components to include and for component sequence. In general, proposals should not exceed 30 double-spaced pages (see item 16 under "Recommendations to Grant Writers" for page and font-size limits).

**Eligibility requirements.** NIJ awards grants to, or enters into cooperative agreements with, educational institutions, nonprofit organizations, public agencies, individuals, and profitmaking organizations that are willing to waive their fees.

**Due date.** Ten (10) copies of fully executed proposals should be sent to:

Solicitation for Technology Research and Development  
Partnership Projects for Community Policing  
National Institute of Justice  
Office of Science and Technology  
633 Indiana Avenue, N.W.  
Washington, DC 20531

Completed proposals must be received at the National Institute of Justice by the close of business on **August 1, 1996**. Extension of this deadline will not be permitted.

**Contact.** Applicants are strongly encouraged to contact NIJ to discuss topic viability, data availability, or proposal content before submitting proposals. To obtain further information, potential applicants may write to Mr. Trent DePersia, Program Manager, at the above address, or contact him by fax at 202-307-9907.

## Award Period

In general, NIJ funds grants and cooperative agreements for a period of 12 months, with the possibility of renewal.

## Award Amount

Up to \$4 million is tentatively budgeted to support awards under this solicitation. It is anticipated that this amount will support several awards. Actual individual funding allocations will be based on the quality of proposals submitted.

## Grant Funds Must Supplement and Not Supplant

Grant funds may not be used to replace State or local funds (or, where applicable, funds provided by the Bureau of Indian Affairs) that would, in the absence of Federal aid, be available or forthcoming to or for law enforcement purposes. The possibility of supplanting will be the subject of careful application review, postaward monitoring, and audit. Any supplanting of non-Federal funds by grant funds is a ground for potential suspension of funding or termination of grant funding, recovery of funds already provided, and other civil or criminal sanctions.

## Recommendations to Grant Writers

Over the past 4 years, Institute staff have reviewed approximately 1,500 grant applications. On the basis of those reviews and inquiries from applicants, the Institute offers the following recommendations to help potential applicants present workable, understandable proposals. Many of these recommendations were adopted from materials provided to NIJ by the State Justice Institute, especially for applicants new to NIJ. Others reflect standard NIJ requirements.

The author(s) of the proposal should be clearly identified.

Proposals that are incorrectly collated, incomplete, or handwritten will be judged as submitted or, at NIJ's

discretion, will be returned without a deadline extension. No additions to the original submission are allowed. The Institute suggests that applicants make certain that they address the questions, issues, and requirements set forth below when preparing an application.

**1. What is the subject or problem you wish to address?** Describe the subject or problem and how it affects the criminal justice system and the public. Discuss how your approach will improve the situation or advance the state of the art of knowledge or state of the science and explain why it is the most appropriate approach to take. Give appropriate citations to the research literature. The source of statistics or research findings cited to support a statement or position should be included in a reference list.

**2. What do you want to do?** Explain the goal(s) of the project in simple, straightforward terms. The goals should describe the intended consequences or expected overall effect of the proposed project, rather than the tasks or activities to be conducted. To the greatest extent possible, applicants should avoid a specialized vocabulary that is not readily understood by the general public. Technical jargon does not enhance an application.

**3. How will you do it?** Describe the methodology carefully so that what you propose to do and how you would do it is clear. All proposed tasks should be set forth so that a reviewer can see a logical progression of tasks and relate those tasks directly to the accomplishment of the project's goal(s). When in doubt about whether to provide a more detailed explanation or to assume a particular level of knowledge or expertise on the part of the reviewers, err on the side of caution and provide the additional information. A description of project tasks also will help identify necessary budget items. All staff positions and project costs should relate directly to the tasks described. The Institute encourages applicants to attach letters of cooperation and support from agencies that will be involved in or directly affected by the proposed project.

**4. What should you include in a grant application for a program evaluation?** If a grant application is for a program evaluation, describe how the evaluation will determine whether the proposed program, training, procedure, service, or technology accomplished the objectives it was designed to meet. Applicants seeking support for a proposed evaluation should describe the criteria that will be used to evaluate the project's effectiveness and identify

program elements that will require further modification. The description in the application should include how the evaluation will be conducted, when it will occur during the project period, who will conduct it, and what specific measures will be used. In most instances, the evaluation should be conducted by persons not connected with the implementation of the procedure, training, service, or technique or with the administration of the project.

**5. How will others learn about your findings?** Include a plan to disseminate the results of the research, evaluation, technology, or demonstration beyond the jurisdictions and individuals directly affected by the project. The plan should identify the specific methods that will be used to inform the field about the project such as the publication of journal articles or the distribution of key materials. Expectations regarding products are discussed more fully in the following section, "Requirements for Award Recipients." A statement that a report or research findings "will be made available to" the field is not sufficient. The specific means of distribution or dissemination as well as the types of recipients should be identified. Reproduction and dissemination costs are allowable budget items. Applicants must concisely describe the interim and final products and address each product's purpose, audience, and usefulness to the field. This discussion should identify the principal criminal justice constituency or type of agency for which each product is intended and describe how the constituent group or agency would be expected to use the product or report. Successful proposals will clearly identify the nature of the grant products that can reasonably be expected if the project is funded. In addition, a schedule of delivery dates of all products should be delineated.

**6. What are the specific costs involved?** The budget application should be presented clearly. Major budget categories such as personnel, benefits, travel, supplies, equipment, and indirect costs should be identified separately. The components of "other" or "miscellaneous" items should be specified in the application budget narrative and should not include set-asides for undefined contingencies.

**7. How much detail should be included in the budget narrative?** The budget narrative should list all planned expenditures and detail the salaries, materials, and cost assumptions used to estimate project costs. The narrative and cost estimates should be presented under the following standard budget categories: personnel, fringe



benefits, travel, equipment, supplies, contracts, other, and indirect costs. For multiyear projects, applicants must include the full amount of NIJ funding for the entire life of the project. This amount should be reflected in item 15g on SF 424 and line 6k on SF 424A. When appropriate, grant applications should include justification of consultants and a full explanation of daily rates for any consultants proposed. To avoid common shortcomings of application budget narratives, include the following information:

- Personnel estimates that accurately provide the amount of time to be spent by personnel involved with the project and the total associated costs, including current salaries for the designated personnel (e.g., Project Director, 50 percent of 1 year's annual salary of \$50,000 = \$25,000). If salary costs are computed using an hourly or daily rate, the annual salary and number of hours or days in a work year should be shown.
- Estimates for supplies and expenses supported by a complete description of the supplies to be used, nature and extent of printing to be done, anticipated telephone charges, and other common expenditures, with the basis for computing the estimates included (e.g., 100 reports x 75 pages each x \$0.05/page = \$375). Supply and expense estimates offered simply as "based on experience" are not sufficient.

**8. What travel regulations apply to the budget estimates?** Transportation costs and per diem rates must comply with the policies of the applicant organization, and a copy of the applicant's travel policy should be submitted as an appendix to the application. If the applicant does not have a travel policy established in writing, then travel rates must be consistent with those established by the Federal Government. The budget narrative should state which regulations are in force for the project and should include the estimated fare, the number of persons traveling, the number of trips to be taken, and the length of stay. The estimated costs of travel, lodging, ground transportation, and other subsistence should be listed separately. When combined, the subtotals for these categories should equal the estimate listed on the budget form.

**9. Which forms should be used?** A copy of SF 424, Application for Federal Assistance, plus instructions, appears in the back of this document. Please follow the instructions carefully. In addition, complete SF 424A (Budget Information), OJP Form 4000/3 (Assurances), and OJP Form 4061/6 (certifications regarding lobbying; de-

barment, suspension, and other responsibility matters; and drug-free workplace requirements).

## **10. What technical materials are required to be included in the application?**

- A one-page abstract of the full proposal, highlighting the project's purpose, methods, activities, and, when known, the location(s) of field research.
- A project narrative, which is the technical portion of the proposal. It should include a clear, concise statement of the problem, goals, and objectives of the project and related questions to be explored and a discussion of the relationship of the proposed work to existing technology and the state of the science.
- A statement of the project's anticipated contribution to criminal justice policy and practice. It is important that applicants briefly cite those particular issues and concerns of present-day criminal justice policy that stimulate the proposed line of inquiry and suggest what their own investigation would contribute to current knowledge.
- The organization and management plan to conduct the study. A list of major milestones of events, activities, and products and a timetable for completion that indicates the time commitments to individual project tasks should be included. All grant activities, including writing of the final report, should be completed within the duration of the award period.
- The applicant's curriculum vitae should summarize education, research experience, and bibliographic information related to the proposed work.

**11. How may grant funds be used?** Grant funds may be used to purchase or lease equipment essential to accomplishing the objectives of the project. The budget narrative must list such equipment and explain why the equipment is necessary. Funds may not be used for operating programs, writing texts or handbooks, training, etc.

**12. To what extent may indirect costs be included in the budget estimates?** It is the policy of the Institute that all costs should be budgeted directly; however, if an applicant has an indirect cost rate that has been approved by a Federal agency within the past 2 years, an indirect cost recovery estimate may be included in the budget. A copy of the approved rate agreement should be submitted as an appendix to the application. If an applicant does not have an approved rate agreement, the applicant should

contact the Office of the Comptroller, Office of Justice Programs, at 202-307-0623, to obtain information about preparing an indirect cost rate proposal.

### **13. What, if any, matching funds are required?**

Units of State and local governments (not including publicly supported institutions of higher education) are encouraged to contribute a match (cash, noncash, or both) of requested funds. Other applicants also are encouraged to seek matching contributions from other Federal agencies or private foundations to assist in meeting the costs of the project.

**14. Should other funding sources be listed?** Applicants are expected to identify all other Federal, local, or private sources of support, including other NIJ programs, to which this or a closely related proposal has been or will be submitted. This information permits NIJ to consider the joint funding potential and limits the possibility of inadvertent duplicate funding. Applicants may submit more than one proposal to NIJ, but the same proposal cannot be submitted in more than one program area.

**15. What are the deadlines?** Completed proposals must be received at NIJ by close of business on **August 1, 1996**.

**16. Is there a page limit?** The Institute has established a limit of 30 double-spaced pages (with font size not smaller than 12 point) for all normal grant applications. This page limit does not include references, budget narrative, curriculum vitae, forms noted in item 9 above, or necessary appendixes. Proposals failing to conform to these page and font limitations will not be accepted.

**17. What is the page order?** The following order is mandatory. Omission can result in rejection of the application:

1. SF 424 (with Assurances attached), followed by SF 424A (budget information), budget narrative, negotiated rate agreement, and certifications.
2. Names and affiliations of all key persons from applicant and subcontractor(s), advisers, consultants, and Advisory Board members. Include, if relevant, the name of the Principal Investigator, title, organizational affiliation (if any), department (if institution of higher education), address, phone, and fax.
3. Abstract.

4. Table of Contents.

5. Project narrative.

6. References.

7. Resumes of key personnel.

**18. What does the review process entail?** After all applications for a competition are received, NIJ will convene a series of peer review panels of criminal justice professionals and researchers. NIJ will assign proposals to peer panels that it deems most appropriate. Panel members read each proposal and meet to assess the technical merits and policy relevance of the proposed research. Panel assessments of the proposals, together with assessments by NIJ staff, are submitted to the Director, who has sole and final authority over approval and awards. The review normally takes 60 to 90 days, depending on the number of applications received. Each applicant receives written comments from the peer review panel concerning the strengths and weaknesses of the proposal. These comments may include suggestions for how a revised or subsequent application to NIJ might be improved.

**19. What are the considerations in selecting applications for an award?** In addition to the selection criteria discussed elsewhere, projects should have a national impact or have potential relevance to a number of jurisdictions. Because of the broad national mandate of the National Institute of Justice, projects that address the unique concerns of a single jurisdiction should be fully justified. Projects that intend to provide services in addition to performing research are eligible for support, but only for the resources necessary to conduct the research tasks outlined in the proposal.

The applicant's performance on previous or current NIJ grants also will be taken into consideration in making funding decisions.

### Requirements for Award Recipients

**Required products.** Each project is expected to generate tangible products of maximum benefit to criminal justice professionals, researchers, and policymakers. In particular, NIJ strongly encourages documents that provide information of practical utility to law enforcement officials, prosecutors, judges, corrections officers, victims services providers, and Federal, State, county, and local elected officials.

Products should include:

- A summary of approximately 2,500 words highlighting the findings of the research and policy issues those findings will inform. The material should be written in a style that will be accessible to policy officials and practitioners and suitable for possible publication as an NIJ Research in Brief. An NIJ editorial style guide is sent to each project director at the time of the award.
- A full technical report, including, but not limited to, details of the technology and its development, utilization of the technology by law enforcement, and effects of the technology on law enforcement efficiency and effectiveness.
- Brief project summaries for NIJ use in preparing annual reports to the President and the Congress.

As appropriate, additional products such as case studies and interim and final reports (e.g., articles, manuals, or training materials) may be specified in the proposal or negotiated at the time of the award.

**Public release of automated data sets.** NIJ is committed to ensuring the public availability of research data and to this end established its Data Resources Program in 1984. All NIJ award recipients who collect data are required to submit a machine-readable copy of the data and appropriate documentation to NIJ prior to the conclusion of the project. The data and materials are reviewed for completeness. NIJ staff then create machine-readable data sets, prepare users' guides, and distribute data and documentation to other researchers in the field. A variety of formats are acceptable; however, the data and materials must conform with requirements detailed in *Depositing Data With the Data Resources Program of the National Institute of Justice: A Handbook*. A copy of this handbook is sent to each project director at the time of the award. For further information about NIJ's Data Resources Program, contact Dr. James Trudeau at 202-307-1355.

**Standards of performance by recipients.** NIJ expects individuals and institutions receiving its support to work diligently and professionally toward completing a high-quality research or study product. Besides this general expectation, the Institute imposes specific requirements to ensure that proper financial and administrative controls are applied to the project. Financial and general reporting requirements are detailed in *Financial and Administrative Guide for Grants*, a publication of the Office of Justice Programs. This guideline manual is sent to recipient insti-

tutions with the award documents. Project directors and recipient financial administrators should pay particular attention to the regulations in this document.

**Program monitoring.** Award recipients and Principal Investigators assume certain responsibilities as part of their participation in government-sponsored research and evaluation. NIJ's monitoring activities are intended to help grantees meet these responsibilities. They are based on good communication and open dialogue, with collegiality and mutual respect. Some of the elements of this dialogue are:

- Communication with NIJ in the early stages of the grant as the elements of the proposal's design and methodology are developed and operationalized.
- Timely communication with NIJ regarding any developments that might affect the project's compliance with the schedules, milestones, and products set forth in the proposal. (See statement on "Timeliness" below.)
- Communication with other NIJ grantees conducting related research projects. An annual "cluster conference" should be anticipated and should be budgeted for by applicants at a cost of \$1,000 for each year of the grant.
- Providing NIJ on request with brief descriptions of the project in interim stages at such time as the Institute may need this information to meet its reporting requirements to Congress. NIJ will give as much advance notification of these requests as possible but will expect a timely response from grantees when requests are made. NIJ is prepared to receive such communication through electronic media.
- Providing NIJ with copies of presentations made at conferences, meetings, and elsewhere based in whole or in part on the work of the project.
- Providing NIJ with prepublication copies of articles based on the project appearing in professional journals or the media, either during the life of the grant or after.
- Other reporting requirements (progress reports, final reports, and other grant products) are spelled out elsewhere in this section. Financial reporting requirements will be described in the grant award documents received by successful applicants.

**Communications.** NIJ Program Managers should be kept informed of research progress. Written progress reports are required on a semiannual basis and should in-

form the Program Manager of which tasks have been completed and whether significant delays or departures from the original workplan are expected. The first progress report should cover the period from the beginning date of the project through the end of the first **complete** quarter (quarters are January 1–March 31, April 1–June 30, July 1–September 30, and October 1–December 31). Subsequent progress reports should cover the next two quarters. All progress reports are due 30 days following the end of the reporting period. For example, if a grant is awarded in May, the first progress report would cover the rest of the current quarter (through June 30) and the first complete quarter (July 1–September 30) and would be due October 31; the second progress report would cover the next two quarters (October 1–December 31 and January 1–March 31) and would be due April 30.

NIJ Program Managers should be kept informed of research progress.

**Timeliness.** Grantees are expected to complete award products within the time frames that have been agreed upon by NIJ and the grantee. The Institute recognizes that there are legitimate reasons for project extensions. However, NIJ does not consider the assumption of additional research projects that impinge upon previous time commitments as legitimate reasons for delay. Projects with unreasonable delays can be terminated administratively. In this situation, any funds remaining are withdrawn. Future applications from either the project director or the recipient institution are subject to strict scrutiny and may be denied support based on past failure to meet minimum standards.

**Publications.** The Institute encourages grantees to prepare their work for NIJ publication. In cases where grantees disseminate their findings through a variety of media, such as professional journals, books, and conferences, copies of such publications should be sent to the Program Manager as they become available, even if they appear well after a project's expiration. NIJ imposes no restriction on such publications other than inclusion of the following acknowledgment and disclaimer:

*This research was supported by grant number \_\_\_\_\_ from the National Institute of Justice. Points of view are those of the author(s) and do not necessarily represent the position of the U.S. Department of Justice.*

### **Data confidentiality and human subjects protection.**

Research that examines individual traits and experiences plays a vital part in expanding our knowledge about criminal behavior. It is essential, however, that researchers protect subjects from needless risk of harm or embarrassment and proceed with their willing and informed cooperation. NIJ requires that investigators protect information identifiable to research participants. When information is safeguarded, it is protected by statute from being used in legal proceedings:

“[S]uch information and copies thereof shall be immune from legal process, and shall not, without the consent of the person furnishing such information, be admitted as evidence or used for any purpose in any action, suit, or other judicial, legislative, or administrative proceedings” (42 United States Code 3789g).

Applicants should file their plans to protect sensitive information as part of their proposal. Necessary safeguards are detailed in 28 Code of Federal Regulations (CFR), ¶22. A short “how-to” guideline for developing a privacy and confidentiality plan can be obtained from NIJ Program Managers.

In addition, the U.S. Department of Justice has adopted Human Subjects policies similar to those established by the U.S. Department of Health and Human Services. If an Institutional Review Board is necessary for this project, a copy of the Board's approval must be submitted to the National Institute of Justice prior to the initiation of data collection. Researchers are encouraged to review 28 CFR 46, ¶46.101, to determine their individual project requirements.

# *Application Forms*

Standard Form 424 (REV 4-88)  
Prescribed by OMB Circular A-102

## INSTRUCTIONS FOR THE SF 424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Self-explanatory.	12.	List only the largest political entities affected (e.g., State, counties, cities).
2.	Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).	13.	Self-explanatory.
3.	State use only (if applicable).	14.	List the applicant's Congressional District and any District(s) affected by the program or project.
4.	If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate <i>only</i> the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
5.	Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
7.	Enter the appropriate letter in the space provided.	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
8.	Check appropriate box and enter appropriate letter(s) in the space(s) provided: —“New” means a new assistance award. —“Continuation” means an extension for an additional funding/budget period for a project with a projected completion date. —“Revision” means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.		
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		
11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.		

# BUDGET INFORMATION — Non-Construction Programs

## SECTION A – BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

## SECTION B – BUDGET CATEGORIES

6 Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a - 6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$



### SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8.	\$	\$	\$	\$
9.				
10.				
11.				
12. TOTALS (sum of lines 8 and 11)	\$	\$	\$	\$

### SECTION D - FORECASTED CASH NEEDS

13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
	\$	\$	\$	\$	\$
14. NonFederal					
15. TOTAL (sum of lines 13 and 14)	\$	\$	\$	\$	\$

### SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTALS (sum of lines 16 - 19)	\$	\$	\$	\$

### SECTION F - OTHER BUDGET INFORMATION (Attach additional Sheets if Necessary)

21. Direct Charges:	22. Indirect Charges:
23. Remarks	

## INSTRUCTIONS FOR THE SF-424A

### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

### Section A. Budget Summary

Lines 1-4, Columns (a) and (b)

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column* (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g.)

*For new applications*, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

Lines 1-4, Columns (c) through (g.) (continued)

*For continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

*For supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 — Show the totals for all columns used.

### Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i — Show the totals of Lines 6a to 6h in each column.

Line 6j – Show the amount of indirect cost.

Line 6k – Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

## INSTRUCTIONS FOR THE SF-424A (continued)

Line 7 – Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

### Section C. Non-Federal-Resources

Lines 8-11 – Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) – Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) – Enter the contribution to be made by the applicant.

Column (c) – Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) – Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) – Enter totals of Columns (b), (c), and (d).

Line 12 – Enter the total for each of Columns (b)-(e). The amount of Column (e) should be equal to the amount on Line 5, Column (f), Section A.

### Section D. Forecasted Cash Needs

Line 13 – Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 – Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 – Enter the totals of amounts on Lines 13 and 14.

### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16 - 19 – Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 – Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

### Section F. Other Budget Information

Line 21 – Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 – Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 – Provide any other explanations or comments deemed necessary.

## SPECIAL INSTRUCTIONS

Applicants must provide on a separate sheet a budget narrative which will detail by budget category, the Federal and non-Federal (in-kind and cash) share. The grantee cash contribution should be identified as to its source, i.e., funds appropriated by a State or local government or donation from a private source. The narrative should relate the items budgeted to project activities and should provide a justification and explanation for the budgeted items including the criteria and data used to arrive at the estimates for each budget category.

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Public reporting burden for this collection of information is estimated to average 26 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspects of this collection of information, including suggestions for reducing this burden, to the Comptroller, Office of Justice Programs, U.S. Department of Justice, 633 Indiana Avenue, NW., Washington, D.C. 20531; and to the Public Use Reports Project, 1121-0140, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

## INSTRUCTIONS

### PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

#### 1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

#### 2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center, provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

#### 3. APPROACH.

- a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function, or activity provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.
- b. Provide for each grant program, function, or activity quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created, the number of people served, and the number of patients treated. When accomplishments cannot be quantified by activity or function, list item in chronological order to show the schedule of accomplishments and their target dates.

- c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.
- d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

#### 4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

#### 5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information: name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training, and background for other key personnel engaged in the project.
- b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress, or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget items have changed more than the prescribed limits contained in the Uniform Administrative Requirements for Grants and Cooperative Agreements - 28 CFR, part 66, Common Rule (or Attachment J to OMB Circular A-110, as applicable), explain and justify the change and its effect on the project.
- c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

## ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or give the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal Sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed in the Environmental protection Agency's (EPA-list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that had been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the nondiscrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans With Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

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Signature

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Date



U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
OFFICE OF THE COMPTROLLER

## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

### 1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### 3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check ☐ if the State has elected to complete OJP Form 4061/7.

#### **DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

For more information on the National Institute of Justice, please contact:

**National Criminal Justice Reference Service**

P.O. Box 6000  
Rockville, MD 20849-6000  
800-851-3420  
e-mail: askncjrs@ncjrs.aspensys.com

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Office of Justice Programs  
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